

3rd Party EMS Audit Checklist

Date:

8/7/2018

Rev 7

Facility:		Blue indicates procedure or other required document	Lead Auditor:				
Iowa EMS Element Description and Number		Audit Results					
		Interview Notes	Met	Partly Met	Not Met	Opportunity	Commendable
0	Review and Discuss previous External Audit Findings/Corrective Action Work Orders IAC 567-111.6(10)a						
1	Environmental Policy Statement (EPS)						
	EPS - Has management (or other relevant party) adopted an Environmental Policy Statement. When was the EPS last reviewed/revised? IAC 567-111.6(2). Who developed the EPS? Is Board or management approval required for the EPS?						
	Does the policy demonstrate the following:						
	(1) Commitment to environmental performance? IAC 567-111.4						
	(2) Framework for action? IAC 567-111.4						
	(3) Framework for setting environmental objectives and targets? IAC 567-111.4						
	(4) Statement of commitment - environmental compliance and continuous improvement? IAC 567-111.4						
	Is the EPS visible and communicated externally? IAC 567-111.6(8)a. Is it posted? Is it available on the Internet? Other?						
	Are staff aware of the EPS? IAC 567-111.6(2), IAC 567-111.6(8)b. Does staff know about EPS or any acronym? Is EMS information about Objectives/Goal available to staff?						

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2	Aspects and Impacts					
	Procedure - Has the organization documented a methodology for how significant environmental Aspects and Impacts are determined? IAC 567-111.6(3)					
	List - Has the organization generated a list that identifies Significant Aspects and Impacts for the planning area/services area activities, services, and facilities? IAC 567-111.6(3)					
	How does the organization make sure the Environmental Impacts list adequately represents the activities and associated environmental impacts of the facility? Have any changes that occurred or that may occur in the near future been included in the Aspects and Impacts list? Examples would include: closure or opening of facilities or other changes to the fenceline, initiation of new programs, an discontinuation of a major service. IAC 567-111.6(3)					
	Is input collected from all levels of the organization? How were impacts identified. How was the threshold picked for "significant?"					

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3	Legal and Other Requirements					
	List - Has a Legal and other requirements list been developed for the facilities in the Planning or Facility Service Area fenceline? A legal/other list should include: environmental laws, regulations and permits along with worker health and safety regulations. IAC 567-111.6(4).					
	Procedure - Is there a documented process for tracking any changes in Legal and Other requirements? IAC 567-111.6(4)					
	Summary - Can the organization provide a brief summary of the area's regulatory compliance in the past year including a listing of recurring or significant violations related to legal requirements? If there are any issues, how are they being resolved? IAC 567-111.6(4)					
	Are there any Legal and Other gaps or areas that need to be addressed? Relevant Environmental laws for within the fenceline: Iowa Codes, Federal Code, OSHA, local regulations.					
	Were there any changes to operations or changes to laws or regulations which affect the EMS? If so what were they? How were they dealt with?					
	Does the organization perform regular inspections of facilities and Equipment? Are there any listings considered "Other"? What are they?					

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4	Objectives and Targets					
	Have Objectives and Targets been set in all the six component areas? IAC 567-111.6(5) Organics Waste Management, Household Hazardous Materials Collection, Greenhouse Gas Reduction, Water Quality Improvement, Recycling Services and Environmental Education. Iowa Code 455J.3.					
	Is the EMS making continuous improvement in regard to 455J.3, which references the EMS designation requirements regarding the six component areas? Iowa Code 455J.7(2)a. Is the EMS planning for the continuous improvement of solid waste management by appropriately and aggressively mitigating the environmental impacts of solid waste disposal? Iowa Code 455J.2(4).					
	Is each Objective an overall and quantifiable goal arising from the Planning or Service Area's Environmental Policy/Aspects/Impacts? Is the Target a detailed and quantifiable performance requirement that must be set at and met to achieve the Objective? IAC 567-111.4					

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5	Action Plan					
	Suggested Procedure - Is there a Plan that describes Actions necessary to achieve the Objectives and Targets? IAC 567-111.6(6)	Note: Strongly suggested procedure. Organizations should either present a Procedure or a schedule that identifies when Action Plans are updated and the conditions regarding periodic Objective and Target reviews and updates, according to 567-111.6(6).				
	Does the plan include identification of specific tasks to achieve Objectives and Targets? IAC 567-111.6(6)					
	Does the plan include timelines for completion of each step of the plan? IAC 567-111.6(6)					
	Does the plan include a schedule for periodically reviewing and updating the Objectives and Targets as conditions dictate. IAC 567-111.6(6)					

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6	Roles and Responsibilities					
	Are Roles and Responsibilities identified in the Action Plan? Does the Action Plan include the identification of the individuals and organizations responsible for carrying out specific tasks to carry out the objectives? IAC 567-111.6(7).					
	How does the organization identify organizations and individuals with skills necessary to carry out Action Plans? Have fiscal matters, technical/professional/industry-related skills, facilities & partners been taken into account? How does the organization decide who to list as the Responsible Party for carrying out Action Plan actions?					
	Is there a designated Environmental Management Representative (EMR) and an EMS Core Team? Are employees aware of their EMS and environmental roles and responsibilities?					

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7	Communication and Training					
	Procedure - Has the organization developed a procedure/procedures for Internal and External <u>Communication</u> . Is there a process for receiving and responding to relevant communication from external parties? IAC 567-111.6(8)a.					
	Communication/External: Has the organization reached out to groups and organizations determined to have an interest, stake or role in the planning or service area's ongoing EMS program? IAC 567-111.6(8)a. How does the organization identify these groups?					
	Procedure - Communication/Internal and <u>Training</u> : Has the organization developed a procedure to ensure that individuals, organizations and entities that have a role or responsibility within an Action Plan have the training necessary to carry out their roles? IAC 567-111.6(8)b.					
	Training: Is a description of training provided to responsible parties available? IAC 567-111.6(8)b. Does the organization provide training and track training completion? How is training tracked? Is special software used? Where are records kept?					
	Internal Communications: How is the EMS communicated Internally? Are all employees provided input opportunities? How?					

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8	Monitoring and Measurement					
	Procedure - Does the organization have a documented process to monitor key activities and, at a minimum, measure performance related to each Objective and Target? IAC 567-111.6(9).					
	How does the organization track, manage and store documents? Is there a procedure for Document Control? Does the organization review and revise procedures on a regular basis? IAC 567-111.7 How are procedures kept up to date?	Note: A Document Control procedure is optional, but recommended.				
	Are results of monitoring/measuring available for review? Do they demonstrate improvement?					
	Are processes/tools to measure performance routinely maintained? Organization should provide documentation.					
	Has the organization provided documentation that environmental improvements are adequate given the nature and scope of the EMS? Iowa Code 455J.2(4)					

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9	Audit/Assessment					
	Procedure - Does the organization have a documented procedure to assess the performance of each EMS component Action Plan in terms of achieving the stated objectives and targets and conformance with the overall EMS. IAC 567-111.6(10).					
	Was an internal EMS audit/assessment conducted during the past/current state fiscal year? Did the organization provide a copy of the report? IAC 567-111.6(10)a. Note the date(s) the Internal Audit occurred. Who is the Internal Auditor? If that person is an organization staff member how does that person maintain an "outside" viewpoint?					
	Who is in charge of setting up the assessments (audits) internal and external and making sure staff is prepared for each?					
	Do the audits/assessments performed draw conclusions from the performance measurements? IAC 567-111.6(10) What does the organization do with reports and conclusions resulting from audits?					
	Does the organization comply with IAC 567-111.6(10)b by submitting to an External Audit each fiscal year? Is the External Audit carried out by an auditor prequalified by DNR? If DNR is not present at the audit, note the date.					
	Has the organization complied with the Annual Report Compliance requirement by submitting a report each year by September 1? Does the report document the system's compliance with the requirements of Iowa Code 455J.3? IAC 567-111.5. Iowa Code 455J.4					

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10	Reevaluation and Modification					
	Suggested Procedure - Does the organization have a method or process to identify areas where the EMS meets, exceeds, or fails to meet expectations? IAC 567-111.6(11).	Note: Strongly suggested procedure. Organizations should present a Procedure and/or Annual Report information identifying how root causes and activities are reevaluated on an ongoing basis 111.6(11).				
	Has the organization identified root causes of outcomes and revised goals and appropriate activities for each component area? IAC 567-111.6(11). Have corrective/preventative actions implemented since Audits and have they been effective?					
	What process is used to report/track/correct problems? Is a Corrective/Preventive Action & Response (CPAR) Form being used?					
	Has each element in IAC 567-111 been addressed? Has progress been made toward achieving the Objectives and Targets? Has the organization clearly demonstrated continuous improvement toward achieving the Objectives and Targets set forth in the EMS? Upon achievement of an Objective/Target, does the organization reevaluate what new initiatives should be incorporated into the EMS? IAC 567-111.7					

Descriptions for Finding(s):

Met Requirements = Satisfied Standard fully

Partially Met Requirements = DNR staff will monitor progress until the next fiscal year audit when the Element will be reviewed

Did Not Meet Requirements = The Lead Auditor will state what is required to satisfy the Finding

Commendable = Went beyond the Standard with innovation, effort

Opportunity for Improvement = No changes are required, but are suggested